

Contractor Alert Reporting Database Manual



September 25, 2019

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I. INTRODUCTION

On April 27, 2010, the Board of Supervisors directed the Chief Executive Office (CEO), Auditor-Controller (A-C), County Counsel (Counsel), and the Director of the Internal Services Department (ISD) to establish a work group to develop a mechanism to alert departments of poorly performing contractors. As a result, the County developed the Contractor Alert Reporting Database (CARD), which uses the County's existing enterprise-based eCAPS System to track poorly performing contractors.

Departments are responsible for monitoring their contractors and are required to use CARD to track and report on poorly performing contractors. When departments identify poorly performing contractors they must:

- Provide contractors with due process by notifying contractors that they may be placed in CARD, indicating the reason(s) for the placement prior to placing them in CARD, and giving the contractor ten business days to respond to the notice (see [section IV](#), page 3).
- Place contractors that meet the placement criteria in CARD and include adequate documentation to justify/support the placement ([see sections III and IV](#), page 3).
- Notify other County departments when contractors are placed in CARD ([see section V](#), page 14).
- Work with contractors to resolve the issue(s) that resulted in placing them in CARD, providing technical assistance, if needed, to help prevent future non-compliance, and monitor to ensure the corrective action results in permanent change.
- Update contractor records in CARD when issues are resolved ([see section VI](#), page 18).
- Use CARD during each applicable contract solicitation ([see section VII](#), page 20).
- Take appropriate steps when one of their existing contractors is placed in CARD by another County department ([see section V](#), page 14).
- Notify the A-C's Countywide Contract Monitoring Division (CCMD) at card@auditor.lacounty.gov if a contractor in CARD is subsequently debarred.

For assistance with CARD, departments may contact the A-C's CCMD at card@auditor.lacounty.gov or (213) 253-0300.

II. CRITERIA FOR PLACING A CONTRACTOR IN CARD

The requirements for placing a contractor in CARD are applicable to all County contracts, unless otherwise prohibited. Departments should consider the materiality of

the issues with the contractor, such as the dollar amount owed to the County, the pattern and number of occurrences, and impact to the County and public before placing a contractor in CARD. Only contractors with a significant issue(s) should be placed in CARD. Before placing a contractor in CARD, departments must also ensure that they provide contractor with due process by providing the contractor notice and time to respond as discussed in section IV. Departments must respect the legal rights of contractors and provide an opportunity for contractors to resolve their CARD issue(s).

Contractors must meet one or more of the following criteria to be placed in CARD:

1. The contractor owes the County for overpayments and/or questioned costs and has not entered into a repayment agreement or agreed to pay the County back or has been referred to the Treasurer and Tax Collector for collection.
2. The contractor has not taken appropriate and timely steps to correct significant documented instances of contract non-compliance. This can also include instances where the contractor corrected their non-compliance but demonstrated a pattern of repeated non-compliance or corrected their non-compliance but the non-compliance was extraordinarily significant and demonstrated disregard for complying with a material contract requirement.
3. The contractor and/or their principal owners are currently debarred by other governmental entities.
4. The contractor has experienced financial, administrative, programmatic or legal issues that affect their ability to comply with the County contract requirements. Examples of these issues include, but are not limited to the following:
 - Bankruptcy
 - Loss of licenses
 - Failure to pay property or payroll taxes
 - Financial viability concerns
 - Lack of qualified staff
 - Lack of required insurance
 - Assessment of any fines and/or penalties by public entities
5. The County has imposed contractual remedies against the contractor for non-compliance with the County contract requirements. The contractor's non-compliance may result in the contractor also meeting criteria #2 above. Examples of contract remedies include, but are not limited to, the following:
 - Termination for default
 - Assessing liquidated damages
 - Adjusting the contractor's funding
 - Not renewing a contract due to performance issues

III. SUPPORTING DOCUMENTATION FOR CARD PLACEMENT

After identifying a poorly performing contractor, departments must maintain documentation to support placing the contractor in CARD, and demonstrate sufficient due process was provided to the contractor. Examples of supporting documentation include:

- Departmental contract monitoring/discrepancy reports
- Annual performance reviews
- Auditor-Controller reports
- Debarment records
- Contractor's audited financial statements
- Communication from the contractor stating their unwillingness to comply with requirements
- Communications from the department documenting collection or other efforts to resolve outstanding issues
- Bankruptcy filings
- Cancellation of required licenses, insurance, etc.

The supporting documentation must be uploaded into CARD using the instructions beginning on [page 7](#).

IV. PLACING A CONTRACTOR IN CARD

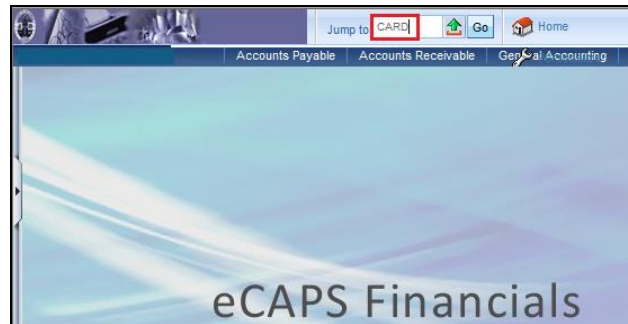
Departments must develop internal approval procedures before placing a contractor in CARD, and must provide due process by sending written notification to a contractor before placing the contractor in CARD. At minimum, the department's Administrative Deputy or a designee should approve a CARD placement. To simplify the approval and notification process, departments are required to:

- Complete a standardized CARD Placement Notification Letter (see [Exhibit I](#)), including an approval signature from the Administrative Deputy/designee.
- Send the signed CARD Placement Notification Letter to the contractor before CARD placement via certified US mail and e-mail.
- If the issue is unresolved after the **ten business days**, place the contractor in CARD according to the instructions below. This includes uploading the supporting documentation justifying CARD placement (including the signed notification that was sent to the contractor). Departments may delay the CARD placement to allow the contractor additional time to resolve any issues.

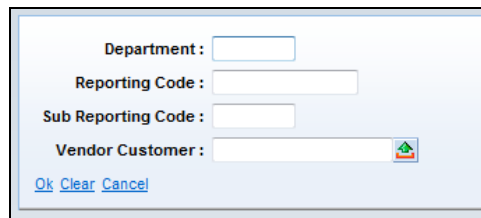
Instructions for placing a contractor in CARD:

A. Accessing the CARD table in eCAPS:

1. Enter "CARD" in the eCAPS "Jump to" feature.

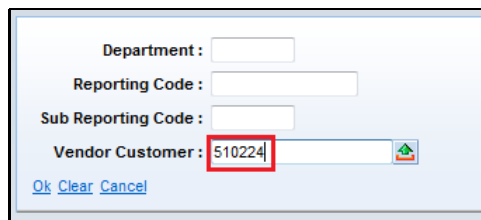


2. The following Search box will load.

A screenshot of a search box in the eCAPS Financials application. It contains four input fields: 'Department', 'Reporting Code', 'Sub Reporting Code', and 'Vendor Customer'. The 'Vendor Customer' field has a small green icon to its right. At the bottom of the box, there are three links: 'Ok', 'Clear', and 'Cancel'.

B. Searching for contractors in CARD:

1. Type in the Vendor Customer number and press Enter.

A screenshot of the same search box as in the previous image. The 'Vendor Customer' field now contains the text 'S10224', which is highlighted with a red box. The other fields remain empty, and the 'Ok', 'Clear', and 'Cancel' links are still at the bottom.

- The following page will load and list all of the contractor's CARD records. If there are no records, the contractor is not in CARD. Check the contractor's CARD entries, if any, for the applicable Department, Reporting Code, and Sub Reporting Code fields. Proceed to section C below to add a new record for a contractor or to [section E](#) beginning on page 13 to update an existing CARD record.

Contractor Alert Reporting Database					
Department	Reporting Code	Sub Reporting Code	Vendor Customer	Legal Name	
✓ SS	1EP08005	BS01	510224	CHICANA SERVICE ACT	
SS	1HH08004	BS01	510224	CHICANA SERVICE ACT	
SS	2ES08044	BS01	510224	CHICANA SERVICE ACT	
SS	2HF08045	BS01	510224	CHICANA SERVICE ACT	
SS	2TE08046	BS01	510224	CHICANA SERVICE ACT	

First Prev Next Last [Attachments](#)

[Save](#) [Undo](#) [Delete](#) [Insert](#) [Copy](#) [Paste](#) [Search](#)

▼ **Contract Information**

*Department : SS Record Create Date : 05/30/2013 Issue Audit

*Reporting Code : 1EP08005 Reporting Active : ☐ Low Bid Solic

*Sub Reporting Code : BS01 Sub Reporting Active : ☐

*Vendor Customer : 510224 Legal Name : CHICANA SERVICE ACTION CENT

► **Issues Information**

► **General Information**

C. Adding a new CARD record:

- Go to the CARD table, close the search box and click on "Insert."

Contractor Alert Reporting Database					
Department	Reporting Code	Sub Reporting Code	Vendor Customer	Legal Name	
First Prev Next Last Attachments					
Save Undo Delete Insert Copy Paste Search					
▼ Contract Information					
*Department :		Record Create Date :			Issues Exist : <input type="checkbox"/>
*Reporting Code :		Reporting Active :	<input type="checkbox"/>		Audits Exist : <input type="checkbox"/>
*Sub Reporting Code :		Sub Reporting Active :	<input type="checkbox"/>		Low Bid Solicitation : <input type="checkbox"/>
*Vendor Customer :			Legal Name :		

2. Enter the Department, Reporting Code, Sub Reporting Code, and Vendor Customer number. Click the check boxes for the relevant Issues and enter the Issue Date(s). If it was determined that the Issue was caused by a subcontractor, click the subcontractor check box and enter the subcontractor name. The CARD table allows users to enter up to three subcontractor names. If the number of involved subcontractors exceeded three, users may use the comments box to enter additional information.

Enter the contact information for the person who should be contacted regarding the CARD record, and click the “Low Bid Solicitation” check box if the contract was awarded via low bid solicitation. The comments box should rarely be used and only to provide additional information supported by appropriate documentation (see the note on [page 14](#) about the comments box). Click Save.

Contractor Alert Reporting Database

Department	Reporting Code	Sub Reporting Code	Vendor Customer	Legal Name
✓ IS	67172	OP01	004570	

First Prev Next Last Attachments

Save Undo Delete Insert Copy Paste Search

Contract Information

Department : IS
 Reporting Code : 67172
 Sub Reporting Code : OP01
 Vendor Customer : 004570
 Record Create Date : 05/01/2018
 Reporting Active : ☐
 Sub Reporting Active : ☐
 Legal Name :
 Issues Exist : ☐
 Audits Exist : ☐
 Low Bid Solicitation : ☒

Issues Information

Issues:	Issue Date:	Resolved:	Resolved Date:	Subcontractor Issue:	Subcontractor Name 1:	Subcontractor Name 2:	Subcontractor Name 3:
<input checked="" type="checkbox"/> Contractor owes the County for overpayments and/or questioned costs and has not entered into a repayment agreement or agreed to pay the County back, or has been referred to the Treasurer and Tax Collector for collections.	06/12/2002	<input type="checkbox"/>		<input type="checkbox"/>			
<input checked="" type="checkbox"/> Contractor has not taken the appropriate steps to correct documented areas of contract non-compliance in a timely manner.	05/31/2002	<input type="checkbox"/>		<input checked="" type="checkbox"/>	ABC, INC		
<input type="checkbox"/> Contractor and/or principal owners are currently debarred by other governmental entities.		<input type="checkbox"/>		<input type="checkbox"/>			
<input type="checkbox"/> Contractor has experienced financial, administrative, programmatic or pending legal issues that affect their ability to comply with the County contract requirements.		<input type="checkbox"/>		<input type="checkbox"/>			
<input type="checkbox"/> County has imposed contractual remedies against the contractor due to non-compliance with the County contract requirements.		<input type="checkbox"/>		<input type="checkbox"/>			

Unresolved Issues : ☐

Contact Name : LESLIE FOXVOG
 Contact Email : LFOXVOG@SD.LACOUNTY.GOV
 Contact Phone : 323-287-2143
 Contact Unit : EXECUTIVE OFFICE

General Information

Comments :

Note: A contractor must be entered into the eCAPS CNTRX table before they can be placed into CARD. Departments generally enter contractors into CNTRX to establish the contractor in eCAPS. However, in some cases (e.g., master agreements) contractors may not be entered in CNTRX, requiring the department to enter the contractor into the CNTRX table to facilitate the CARD placement.

- After saving, the highlighted areas will be automatically populated.

Contractor Alert Reporting Database

Department	Reporting Code	Sub Reporting Code	Vendor Customer	Legal Name
AN	74605	BS01	004570	D & D SERVICES INC
✓ IS	67172	OP01	004570	D & D SERVICES INC

First Prev Next Last [Attachments](#)

[Save](#) [Undo](#) [Delete](#) [Insert](#) [Copy](#) [Paste](#) [Search](#)

Contract Information

*Department : IS **Record Create Date** : 03/15/2018 **Issues Exist** : ☒
 *Reporting Code : 67172 **Reporting Active** : ☒
 *Sub Reporting Code : OP01 **Sub Reporting Active** : ☒
 *Vendor Customer : 004570 **Legal Name** : D & D SERVICES INC

Issues Information

Issues:

	Issue Date:	Resolved:	Resolved Date:	Subcontractor Issue:
<input checked="" type="checkbox"/> Contractor owes the County for overpayments and/or questioned costs and has not entered into a repayment agreement or agreed to pay the County back, or has been referred to the Treasurer and Tax Collector for collections.	06/12/2002	<input type="checkbox"/>		<input type="checkbox"/>
<input type="checkbox"/> Contractor has not taken the appropriate steps to correct documented areas of contract non-compliance in a timely manner.		<input type="checkbox"/>		<input type="checkbox"/>
<input type="checkbox"/> Contractor and/or principal owners are currently debarred by other governmental entities.		<input type="checkbox"/>		<input type="checkbox"/>
<input type="checkbox"/> Contractor has experienced financial, administrative, programmatic or pending legal issues that affect their ability to comply with the County contract requirements.		<input type="checkbox"/>		<input type="checkbox"/>
<input type="checkbox"/> County has imposed contractual remedies against the contractor due to non-compliance with the County contract requirements.		<input type="checkbox"/>		<input type="checkbox"/>

Unresolved Issues : ☒

Contact Name : LESLIE FOXVOG **Contact Phone** : 323-287-2143
Contact Email : LFOXVOG@ISD.LACOUNTY.GOV **Contact Unit** : EXECUTIVE OFFICE

D. Uploading supporting documentation:

- To upload the CARD Placement Notification Letter and other correspondence with the contractor (e.g., e-mails discussing contract compliance), go to the contractor's Issues Page, select the relevant CARD record, and click on the Attachments link. Please note that departmental monitoring reports, contract discrepancy reports (CDR), or other audit reports should be uploaded to the Audits Page (instructions begin at step 8 below), not the Issues Page.

[Close](#)

Contractor Alert Reporting Database

Issues

Contract Information

Issues Information

General Information

Audits

Department	Reporting Code	Sub Reporting Code	Vendor Customer	Legal Name
✓ AN	74605	BS01	004570	D & D SERVICES INC
IS	67172	OP01	004570	D & D SERVICES INC

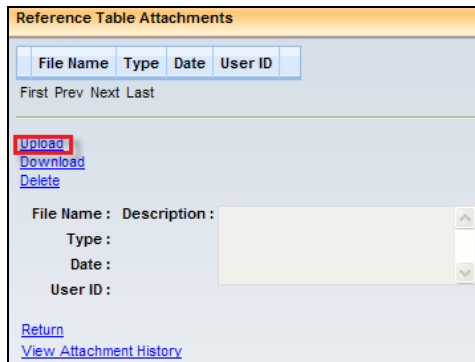
First Prev Next Last **Attachments**

[Save](#) [Undo](#) [Delete](#) [Insert](#) [Copy](#) [Paste](#) [Search](#)

Contract Information

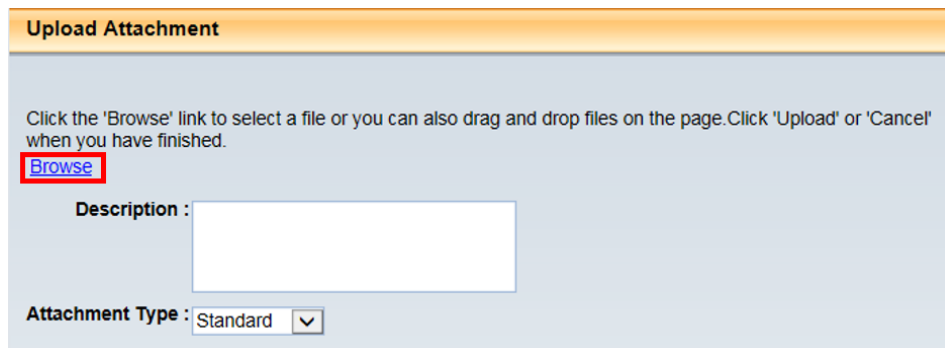
*Department : AN **Record Create Date** : 03/15/2018 **Issues Exist** : ☒
 *Reporting Code : 74605 **Reporting Active** : ☐
 *Sub Reporting Code : BS01 **Sub Reporting Active** : ☐
 *Vendor Customer : 004570 **Legal Name** : D & D SERVICES INC

2. Click on Upload.



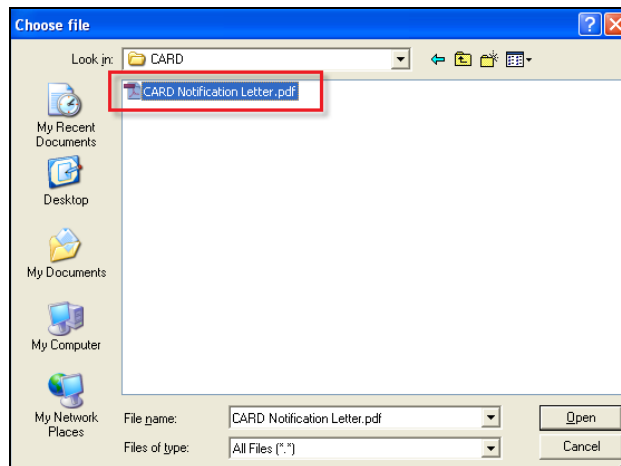
The screenshot shows a web interface titled "Reference Table Attachments". It features a table with columns: File Name, Type, Date, and User ID. Below the table are navigation links: First, Prev, Next, Last. A red box highlights the "Upload" link. Below the links are "Download" and "Delete" links. Further down are input fields for "File Name", "Description", "Type", "Date", and "User ID". At the bottom are "Return" and "View Attachment History" links.

3. Click on Browse.



The screenshot shows a web interface titled "Upload Attachment". It contains instructions: "Click the 'Browse' link to select a file or you can also drag and drop files on the page. Click 'Upload' or 'Cancel' when you have finished." A red box highlights the "Browse" link. Below the instructions is a "Description" text input field. At the bottom is an "Attachment Type" dropdown menu with "Standard" selected.

4. Select the file to be uploaded and click Open.



5. Enter a Description, check the box to the left of the file and click Upload. Once successfully uploaded, click Done to return to the previous screen.

Upload Attachment

Click the 'Browse' link to select a file or you can also drag and drop files on the page. Click 'Upload' or 'Cancel' when you have finished.

[Browse](#)

Description :

Attachment Type :

[Select All](#) With selected : [Apply Description](#) [Apply Attachment Type](#) [Clear Description](#) [Remove](#)

	File Name	Description	Attachment Type
<input checked="" type="checkbox"/>	CARD Notification Letter.pdf	CARD Notification Letter	<input type="text" value="Standard"/>

Total Number of Files selected: 1

[Upload](#) [Cancel](#)

6. Repeat steps 2 through 5 to upload additional supporting documents to the Issues Page.
7. Click Return to go back to the Issues Page.
8. To upload departmental monitoring reports, CDR, or other audit reports, go to the Audits Page and click on Insert to add an audit record.

[Close](#)

Issues

Audits

Contract Information

Audit & Legal Information

General Information

Contractor Alert Reporting Database

Audits

Department	Reporting Code	Sub Reporting Code	Vendor Customer	Legal Name
First	Prev	Next	Last	Attachments

Save [Undo](#) [Delete](#) [Insert](#) [Copy](#) [Paste](#) [Search](#)

Contract Information

Department :

Reporting Code :

Sub Reporting Code :

Vendor Customer :

Record Create Date :

Reporting Active : ☐

Sub Reporting Active : ☐

Legal Name :

9. Enter the Audit Name, Organization, Date, URL (optional), and the Contact Information for the audit record. A comments box is provided but should rarely be used and only to provide additional information supported by appropriate documentation (see the note on [page 14](#) about the comments box). Click Save.

Contractor Alert Reporting Database

Audits

Department	Reporting Code	Sub Reporting Code	Vendor Customer	Legal Name	Audit Name	Audit Number
✓ IS	67172	OP01	004570			

First Prev Next Last [Attachments](#)

[Save](#) [Undo](#) [Delete](#) [Insert](#) [Copy](#) [Paste](#) [Search](#)

▼ **Contract Information**

[Save All](#)

Department : Record Create Date : 03/28/2011

Reporting Code : Reporting Active : ☐

Sub Reporting Code : Sub Reporting Active : ☐

Vendor Customer : Legal Name :

▼ **Audit & Legal Information**

*Audit Name : Audit Date :

Audit Organization :

Audit URL : Audit Number :

Audit Contact Information

Contact Name : Contact Phone :

Contact Email : Contact Unit :

County Counsel Contact Information

Contact Name : Contact Phone :

Contact Email : Contact Unit :

10. Click on the Attachments link to upload attachments to the audit record.

Contractor Alert Reporting Database

Audits

Department	Reporting Code	Sub Reporting Code	Vendor Customer	Legal Name	Audit Name	Audit Number
✓ IS	67172	OP01	004570	D & D DISPOSAL, INC.	NATURAL, BUILDING MAINTENANCE CUSTODIAL CONTRACT	1

First Prev Next Last [Attachments](#)

[Save](#) [Undo](#) [Delete](#) [Insert](#) [Copy](#) [Paste](#) [Search](#)

▼ **Contract Information**

Department : Record Create Date : 03/28/2011

Reporting Code : Reporting Active : ☒

Sub Reporting Code : Sub Reporting Active : ☒

Vendor Customer : Legal Name :

11. Click on Upload.

Reference Table Attachments

File Name	Type	Date	User ID
-----------	------	------	---------

First Prev Next Last

[Upload](#) [Download](#) [Delete](#)

File Name : Description :

Type :

Date :

User ID :

[Return](#) [View Attachment History](#)

12. Click on Browse.

Upload Attachment

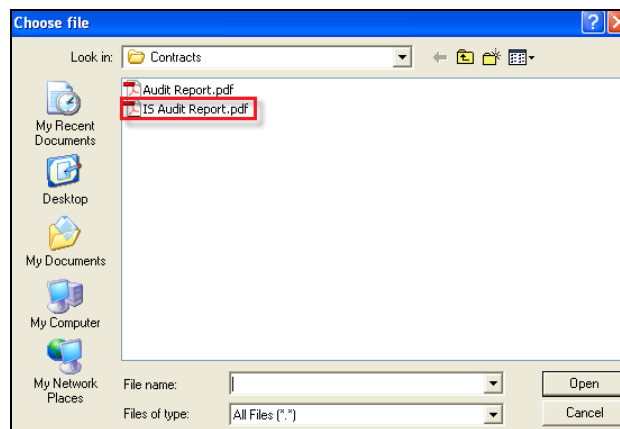
Click the 'Browse' link to select a file or you can also drag and drop files on the page. Click 'Upload' or 'Cancel' when you have finished.

[Browse](#)

Description :

Attachment Type : Standard ▼

13. Select the departmental monitoring report, CDR, or other audit report file to be uploaded and click Open.



14. Enter a Description, check the box to the left of the file, and click Upload. Once successfully uploaded, click Done to return to the previous screen.

Upload Attachment

Click the 'Browse' link to select a file or you can also drag and drop files on the page. Click 'Upload' or 'Cancel' when you have finished.

[Browse](#)

Description :

Attachment Type : Standard ▼

[Select All](#) [With selected](#) : [Apply Description](#) [Apply Attachment Type](#) [Clear Description](#) [Remove](#)

	File Name	Description	Attachment Type
<input checked="" type="checkbox"/>	IS Audit Report.pdf	Audit Report	Standard ▼

Total Number of Files selected: 1

[Upload](#) [Cancel](#)

15. Repeat steps 11 through 14 to upload any additional files relevant to the audit record (i.e., communications with the contractor, corrective action plans, follow-up reports).

16. Click Return to go back to the Audits Page.

File Name	Type	Date	User ID
✓ IS Audit Report.pdf	Standard	11/3/10	e402204

First Prev Next Last

[Upload](#)
[Download](#)
[Delete](#)

File Name : IS Audit Report.pdf Description : Audit Report
Type : 1
Date : 11/3/10
User ID : e402204

[Return](#)
[View Attachment History](#)

17. Repeat steps 8 through 16 to insert another audit record and upload another monitoring report, CDR, or other audit report.

Note: To prevent inappropriate duplicate CARD entries, departments should only create one CARD record for each contract (eCAPS Reporting Code) that a contractor has with the County and should not create a CARD record for each Sub Reporting Code related to the contract.

If a contractor that is already in CARD also meets one or more of the CARD placement criteria for another contract, a department may generally initiate the CARD notification and placement procedures for the other contract. However, for CARD criteria numbers 3 or 4, departments should not initiate CARD procedures for the exact same performance issue(s) that caused the contractor to be placed in CARD. Example #1: If Department A placed a contractor in CARD for filing bankruptcy and Department B also contracts with the contractor, Department B should not place them in CARD again for filing bankruptcy. Example #2: If Department A placed a contractor in CARD for not maintaining required insurance and Department B discovers that the contractor is failing to pay payroll taxes for their contract, Department B should initiate CARD placement for that compliance issue, since it is a different issue.

E. Updating an existing CARD record:

1. Update the CARD record's Issues Page by adding additional Issues, revising the contact information, uploading additional documents, or by entering comments and then click Save.

Close

Contractor Alert Reporting Database

Department	Reporting Code	Sub Reporting Code	Vendor Customer	Legal Name
IS	67172	OP01	004570	BLANK

First Prev Next Last [Attachments](#)

[Save](#) [Undo](#) [Delete](#) [Insert](#) [Copy](#) [Paste](#) [Search](#)

Contract Information

*Department: IS Record Create Date: 03/28/2011 Issues Exist: ☒
 *Reporting Code: 67172 Reporting Active: ☐ Audits Exist: ☒
 *Sub Reporting Code: OP01 Sub Reporting Active: ☐
 *Vendor Customer: 004570 Legal Name: BLANK

Issues Information

Issues:

Issue	Issue Date
<input checked="" type="checkbox"/> The contractor has not made an effort to repay the County for questioned costs.	06/12/2002
<input checked="" type="checkbox"/> The contractor has not implemented a corrective action plan in a timely manner.	07/01/2011
<input type="checkbox"/> The contractor's principal officers have previously been debarred.	
<input type="checkbox"/> The contractor has material financial, administrative, programmatic or pending legal issues.	
<input type="checkbox"/> The County has instituted contractual remedies against the contractor.	

Unresolved Issues: ☒

Contact Name: LESLIE FOXVOG Contact Phone: 323-267-2143
 Contact Email: LFOXVOG@SD.LACOUNTY.GOV Contact Unit: EXECUTIVE OFFICE

General Information

Comments

2. Update the CARD record's Audits Page by inserting a new audit record or updating an existing audit record by uploading additional documents, revising the Audit Name, Date, Organization or contact information or by entering comments. Click Save.

Close

Contractor Alert Reporting Database

Department	Reporting Code	Sub Reporting Code	Vendor Customer	Legal Name	Audit Name
IS	67172	OP01	004570	D & D DISPOSAL, INC. NATURAL, BUILDING MAINTENANCE CUSTODIA	

First Prev Next Last [Attachments](#)

[Save](#) [Undo](#) [Delete](#) [Insert](#) [Copy](#) [Paste](#) [Search](#)

Contract Information

*Department: IS Record Create Date: 03/28/2011
 Reporting Code: 67172 Reporting Active: ☐
 Sub Reporting Code: OP01 Sub Reporting Active: ☐
 Vendor Customer: 004570 Legal Name: D & D DISPOSAL, INC. NATURAL, BUILDING MAINTENANCE CUSTODIA

Audit & Legal Information

*Audit Name: EXTERNAL AUDIT Audit Date: 11/1/2010
 Audit Organization: KPMG Audit Number:
 Audit URL:

Audit Contact Information

Contact Name: LARRY GREEN Contact Phone: 323-881-3159
 Contact Email: Contact Unit:

County Counsel Contact Information

Contact Name: Contact Phone:
 Contact Email: Contact Unit:

General Information

Comments

F. Interpreting potential error messages:

1. LAC30: Contract is not valid. The Department Code, Reporting Code, Sub Reporting Code, and Vendor must be on the Contract Extension Table (CNTRX – See note on page 6).
2. LAC34: Issue/Resolved Date must be entered when Issue/Resolved checkbox is checked.
3. LAC35: Issue/Resolved Date cannot be entered unless Issue/Resolved checkbox is checked.
4. LAC38: Resolved Date cannot come before Issue Date.
5. LAC39: CARD entries should have at least one issue.
6. LAC40: Department/Reporting Code/Sub Reporting Code/Vendor Customer field is required. These fields must be entered.
7. LAC42: Contact Name and Contact Phone must be entered if any Issues are checked.
8. LAC43: Audit Name is required when Audit Information is entered.
9. A unique index was violated. Either a duplicate record was inserted, or a unique attribute was modified.

Note: A comments box is provided on the Issues and Audits Pages if departments need to explain a rare circumstance (e.g., a resolved issue becoming a current issue again, more than three subcontractors responsible for non-compliance issue). The comments box should rarely be used and only to provide additional information supported by appropriate documentation. Departments should not make negative commentary or state opinions about a contractor in the comments box.

V. COUNTYWIDE NOTIFICATION AND DEPARTMENT FOLLOW-UP

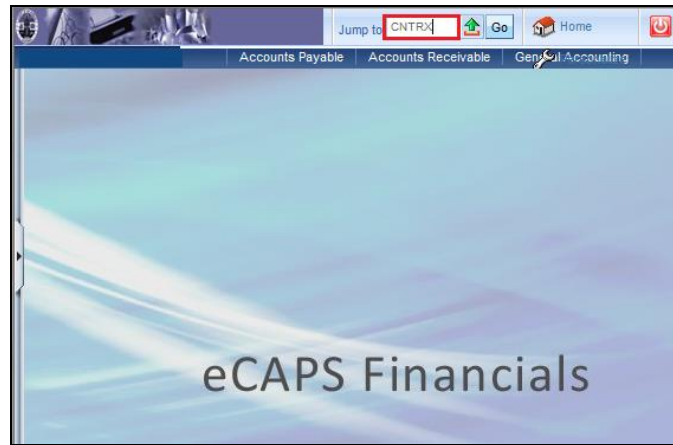
A. Countywide Notification

After a department places a contractor in CARD, the department must notify the Board of Supervisors' offices and other County departments. Specifically, the department must send e-mail notification of the CARD placement with an attached copy of the signed [CARD Placement Notification Letter](#) to the following:

- The Board of Supervisors' budget deputies.
- The department's respective cluster's Board deputies.

- The Countywide Contracting Network via their e-mail cardnotify@isd.lacounty.gov (the notification will be forwarded to members of the network by ISD staff).
- Contract managers of other County departments that have active contracts with the contractor placed in CARD. The department should notify these contract managers about other departments that use the contractor to facilitate communication between all of the impacted departments. A list of contract managers can be found at http://file.mylacounty.gov/SDSIntra/isd/pcs/contacts/1046498_ContractManagerDirectory.pdf. The following are instructions for using eCAPS to search for departments that have active contracts with a contractor listed in CARD:

1. Enter "CNTRX" in the eCAPS "Jump to" feature.



2. Enter the Vendor Customer number in the Search box and press Enter.

Department :

Reporting Code :

Sub Reporting Code :

Vendor Customer :

[Ok](#) [Clear](#) [Cancel](#)

- Click through the records for each reporting code. Make a note of the department associated with each entry where the Active flag is checked and send notifications to those departments as indicated above.

Contract Extension				
Department	Reporting Code	Name	Sub Reporting Code	Vendor Customer
HS	H-702013	Southern California Alcohol and Drug Programs, Inc.	AD07	505535
HS	H-702291	Southern California Alcohol and Drug Programs, Inc.	AD07	505535
HS	H-702300	Southern California Alcohol and Drug Programs, Inc.	AD07	505535
HS	H-702302	Southern California Alcohol and Drug Programs, Inc.	GR07	505535
HS	H-702305	Southern California Alcohol and Drug Programs, Inc.	AD07	505535
HS	H-702307	Southern California Alcohol and Drug Programs, Inc.	CW07	505535
HS	H-702318	Southern California Alcohol and Drug Programs, Inc.	PR07	505535
MH	MH120692	Southern California Alcohol and Drug Programs, Inc.	BS01	505535
MH	MH120802	Southern California Alcohol and Drug Programs, Inc.	BS01	505535
✓ MH	MH120927	Southern California Alcohol and Drug Programs, Inc.	BS01	505535

[First](#) [Prev](#) [Next](#) [Last](#) [Attachments](#)

Save [Undo](#) Delete Insert [Copy](#) Paste [Search](#)

▼ Reporting Information

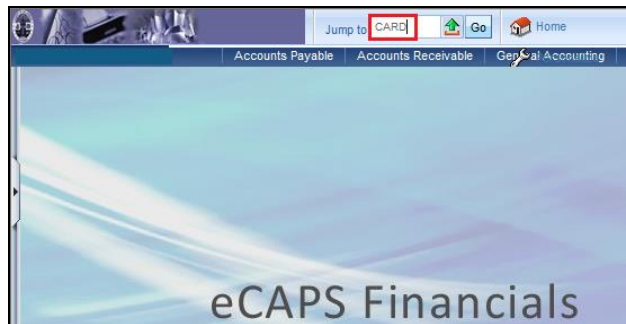
*Department : MH Reporting Start Date : 07/01/2012
 *Reporting Code : MH120927 Reporting End Date : 06/30/2014
 Board Approval Date : Begin Solicitation Date :
 Active ☒ Board Agenda Date :

B. Department Follow-up

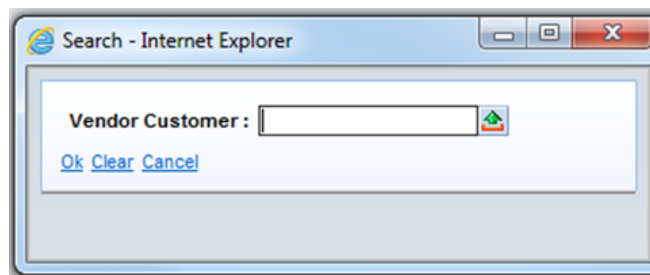
Departments are responsible for taking appropriate steps when their existing contractor is placed in CARD by another County department. Contract managers should receive a separate notice when another department places a contractor in CARD. In addition, all contract managers should follow-up on CARD placement notifications they receive from the Countywide Contracting Network to determine whether or not their department also contracts with the agency that was placed in CARD. This can be done using the eCAPS search method above.

For departments that don't have an active contract with the contractor, no action is required. Contract managers for departments that have an active contract with the contractor must review the details of the CARD entry to determine if the contractor's poor performance has any potential impact on the services provided in their contract. If additional information is needed, departments should contact the person listed in the CARD entry as the departmental contact person to request the information. Instructions for accessing the CARD entry details are below:

1. Enter "CARD" in the eCAPS "Jump to" feature.



2. After the Search box (below) opens, type in the Vendor Customer number to view the contractor's CARD record(s) or leave the box blank and click Ok to manually search all of the CARD records.



3. The relevant CARD criteria and the contact information for the department that entered the contractor in CARD are identified in the Issues Information section. To review the details of the CARD entry, click on Attachments.

Contractor Alert Reporting Database				
Department	Reporting Code	Sub Reporting Code	Vendor Customer	Legal Name
✓ IS	I104342	BS01	528720	WIZTEC INCORPORATED

First Prev Next Last [Attachments](#)

Save Undo Delete Insert Copy Paste Search

Contract Information

*Department : IS Record Create Date : 06/13/2013 Issues Exist : ☒

*Reporting Code : I104342 Reporting Active : ☐ Audits Exist : ☐

*Sub Reporting Code : BS01 Sub Reporting Active : ☒

*Vendor Customer : 528720 Legal Name : WIZTEC INCORPORATED

Issues Information

Issues:

Issue	Issue Date:	Resolved:	Resolved Date:
<input type="checkbox"/> Contractor owes the County for overpayments and/or questioned costs and has not entered into a repayment agreement or agreed to pay the County back, or has been referred to the Treasurer and Tax Collector for collections.		<input type="checkbox"/>	
<input type="checkbox"/> Contractor has not taken the appropriate steps to correct documented areas of contract non-compliance in a timely manner.		<input type="checkbox"/>	
<input type="checkbox"/> Contractor and/or principal owners are currently debarred by other governmental entities.		<input type="checkbox"/>	
<input checked="" type="checkbox"/> Contractor has experienced financial, administrative, programmatic or pending legal issues that affect their ability to comply with the County contract requirements.	02/01/2013	<input type="checkbox"/>	
<input type="checkbox"/> County has imposed contractual remedies against the contractor due to non-compliance with the County contract requirements.		<input type="checkbox"/>	

Unresolved Issues : ☒

Contact Name : YOLANDA YOUNG Contact Phone : 323-267-3101

Contact Email : YYOUNG@ISD.LACOUNTY.GOV Contact Unit : CONTRACTING DIVISION

- Click Download to open and review the supporting documentation for the CARD entry. To go back to the previous page, click Return.

Reference Table Attachments				
	File Name	Type	Date	User ID
✓	Wiztec_Notice of Termination 2-1-13.pdf	Standard	6/13/13	e535447
	Termination Letter from Wiztec_2-6-13.pdf	Standard	6/13/13	e535447
	ISD Ltr to Wiztec RE Termination 2-21-13.pdf	Standard	6/13/13	e535447
	Wiztec_Board Notice 2-26-13.pdf	Standard	6/13/13	e535447
	Wiztec CARD Notice_4-1-13.pdf	Standard	6/13/13	e535447
	Wiztec Termination BL_4-30-13.pdf	Standard	6/13/13	e535447

First Prev Next Last

[Upload](#)
[Search](#)
[Download](#)
[Delete](#)

File Name : Wiztec_Notice of Termination 2-1-13.pdf Description : 2-1-13 Wiztec's notice to ISD re. termination
 Type : 1
 Date : 6/13/13
 User ID : e535447

[Return](#)
[View Attachment History](#)

If additional information is needed, call and/or e-mail the CARD entry contact person or the department's contract manager using the contact list at http://file.mylacounty.gov/SDSIntra/isd/pcs/contacts/1046498_ContractManagerDirectory.pdf. After completing their review, contract managers should document their conclusion. If there is an impact on their services, the contract manager must investigate (and document) whether their department:

- Is already aware of similar identified issues and whether corrective action has been initiated. If not, the department must determine the extent and impact on contract compliance.
- Needs to enhance their monitoring activities in relation to the poor performance.
- Should provide any technical assistance to avoid performance issues for their contract.

Departments should take appropriate steps to address any issues noted during their investigation (e.g., increasing monitoring efforts, or imposing contract remedies) and notify any other impacted departments of any actions taken. If, during this process, a department determines that the contractor also meets one or more of the CARD placement criteria for their contract, the department may initiate the CARD notification and placement procedures for their contract unless the placement is for the exact same performance issue (see [Note](#) on page 12).

VI. RESOLVING CARD ISSUES

In addition to providing contractors with due process before they are placed in CARD, departments must also allow contractors an opportunity to resolve any of the issues indicated in the contractors' CARD records. If a contractor expresses interest in

resolving any issues, departments should work with the contractor and indicate the steps necessary to resolve the issues. Any letter or e-mail a contractor sends to the department that placed them in CARD should be replied to timely. For contractors placed in CARD for being debarred by other governmental entities, departments must update CARD to indicate that the issue is resolved once the debarment period of the other government entity expires.

The resolution processes for some issues are more clearly defined, such as repaying the County for questioned costs or providing certain contract deliverables subsequent to CARD placement. For other issues, such as imposed contractual remedies, departments must develop their own internal resolution processes to determine at what point the issue can be deemed resolved in CARD. For example, if a department placed a contractor in CARD because they imposed contractual remedies (e.g., liquidated damages), the department may determine this issue resolved if the contractor paid for the damages and sufficiently demonstrated compliance for a specific period of time (e.g., one year).

Once a contractor has taken the steps necessary to resolve one or more of their CARD issues, the department should follow the steps below to update the contractor's CARD records. After updating CARD, the department must notify the contractor that their CARD record is updated. In doing so, departments must not state that the contractor is/was removed from CARD, since the contractor will remain in CARD with the issue(s) updated to indicate a "resolved" status.

The following are instructions for updating a contractor's CARD record for an issue that has been resolved:

1. Go to the appropriate Issues Page, check the related Resolved box, and enter the Resolved Date. Click Save.

The screenshot displays the 'Contractor Alert Reporting Database' interface. At the top, a table lists contractors with columns for Department, Reporting Code, Sub Reporting Code, Vendor Customer, and Legal Name. The selected contractor is HATHAWAY CHILDREN SERVICES (CH, 70986, OP03, 501187). Below this, a 'Contract Information' section contains fields for Department, Reporting Code, Sub Reporting Code, Vendor Customer, and Legal Name, along with checkboxes for 'Issues Exist', 'Reporting Active', 'Audits Exist', and 'Sub Reporting Active'. The 'Issues Information' section lists five issues, each with an 'Issue Date' and a 'Resolved' checkbox. The first issue, 'The contractor has not made an effort to repay the County for questioned costs.', is selected, and its 'Resolved' checkbox is checked. The 'Resolved Date' is set to 09/30/2010. At the bottom, contact information for JENNIFER LOPEZ is provided.

Department	Reporting Code	Sub Reporting Code	Vendor Customer	Legal Name
CH	70986	OP03	501187	HATHAWAY CHILDREN SERVICES

First Prev Next Last [Attachments](#)

[Save](#) [Undo](#) [Delete](#) [Insert](#) [Copy](#) [Paste](#) [Search](#)

Contract Information

[Save All](#)

Department: CH Record Create Date: 11/03/2010 Issues Exist: ☒

*Reporting Code: 70986 Reporting Active: ☒ Audits Exist: ☒

*Sub Reporting Code: OP03 Sub Reporting Active: ☒

*Vendor Customer: 501187 Legal Name: HATHAWAY CHILDREN SERVICES

Issues Information

Issues:	Issue Date:	Resolved:	Resolved Date:
<input checked="" type="checkbox"/> The contractor has not made an effort to repay the County for questioned costs.	04/07/2009	<input checked="" type="checkbox"/>	09/30/2010
<input type="checkbox"/> The contractor has not implemented a corrective action plan in a timely manner.		<input type="checkbox"/>	
<input type="checkbox"/> The contractor's principal officers have previously been debarred.		<input type="checkbox"/>	
<input type="checkbox"/> The contractor has material financial, administrative, programmatic or pending legal issues.		<input type="checkbox"/>	
<input type="checkbox"/> The County has instituted contractual remedies against the contractor.		<input type="checkbox"/>	

Unresolved Issues: ☒

Contact Name: JENNIFER LOPEZ Contact Phone: 213-351-3286

Contact Email: JLOPEZ@DCFS.LACOUNTY.GOV Contact Unit: EXECUTIVE OFFICE

2. Upload documentation demonstrating that each Issue was resolved (see instructions for uploading documents, [page 7](#)).

Departments should continue to monitor their contractors to ensure the corrective actions result in permanent change. If a resolved issue becomes a current issue again, departments should go to the Issue Page, unclick “resolved”, delete the resolved date, update the issue date to indicate the date of the current issue, and update the contact information (if necessary). Departments must also upload additional supporting documentation for the current issue and type a brief note in the comments box about the resolved issue becoming a current issue again. However, departments must not remove the historical supporting documentation.

VII. USING CARD DURING THE SOLICITATION PROCESS

A. Solicitation Language

To ensure proposers are properly notified of how the information in CARD will be used during the solicitation process, departments must determine which language is applicable based on the type of solicitation conducted.

Solicitations with Performance History Scoring Component (e.g., Request for Proposals)

X.X.X Proposer’s Qualifications (___%)

- 1. Proposer will be evaluated on their experience and capacity as a corporation or other entity to perform the required services based on information provided in Section X.X of the proposal.*
- 2. Proposer will be evaluated on the verification of references provided in Section X.X of the proposal. In addition to the references provided, a review will include the County’s Contract Database and Contractor Alert Reporting Database, if applicable, reflecting past performance history on County or other contracts. This review may result in point deductions up to 100% of the total points awarded in this evaluation category. Additionally, a review of terminated contracts will be conducted which may result in point deductions.*
- 3. A review will be conducted to determine the significance of any litigation or judgments pending against the Proposer as provided in Section X.X of the proposal.*

Solicitations Where Performance History is not Scored (e.g., Invitation for Bids)

The County maintains the Contractor Alert Reporting Database (CARD), which is used to track/monitor poorly performing contractors. When a County department identifies a significant performance/non-compliance issue(s) with a contractor, the department will provide notice to the contractor and will give the contractor an opportunity to correct the issue(s). If the contractor does not take any appropriate steps to correct the issue(s), the County department will enter the contractor, along with any other relevant information pertaining to the contractor's performance issue(s), into CARD.

The information entered into CARD can be accessed by all County departments, and will be used, along with any other relevant information not included in CARD, in determining bidder responsibility. If a department reviews this information and determines that a finding of non-responsibility should be pursued, the department will adhere to the guidelines specified in the Los Angeles County Code Chapter 2.202, and the County's [Implementation Procedures for Determinations of Contractor Non-Responsibility and Contractor Debarment](#).

B. Contract Language

Departments must also include one of the standard languages below in contracts and amendments, depending on the type of solicitation that was used in awarding the contract.

Solicitations with Performance History Scoring Component

The County maintains databases that track/monitor contractor performance history. Information entered into such databases may be used for a variety of purposes, including determining whether the County will exercise a contract term extension option.

Solicitations Where Performance History is not Scored

The County maintains databases that track/monitor contractor performance history. Information entered into such databases may be used for a variety of purposes, including determining whether a bidder is responsible for the purposes of a future County contract or extension option.

C. Evaluation Procedures

Departments must include a CARD review in their evaluation procedures. The CARD review must include (1) searching CARD to determine if proposers/bidders have been placed in CARD, and (2) contacting proposers' non-County references to identify any issues that may exist that are similar to the CARD criteria. As described below, departments must take appropriate action when proposers/bidders that have been placed in CARD or provided non-County references who indicate and provide documentation that the proposer/bidder has issues similar to the CARD criteria.

Solicitations with Performance History Scoring Component

For County contract solicitations where a proposer's/bidder's performance history is scored as part of the evaluation process, the following are instructions for completing the CARD review:

1. Searching CARD for proposers/bidders – Whether or not proposers/bidders include a County department as a reference in their proposals, departments must search CARD to determine if a County department has placed the proposers/bidders in CARD. Departments should identify any business names the proposers/bidders may use and determine if they are in CARD by reviewing the eCAPS Cognos report titled “CARD Contractor List” (see the [eCAPS Cognos Reports](#) section beginning on page 25) or by searching CARD for each individual proposer/bidder (see instructions on [page 4](#)).
 - a. If the proposer/bidder is not in CARD, departments can skip the remaining steps for searching CARD, and begin contacting the proposer's/bidder's non-County references (see instructions below) to determine if any CARD-related issues exist.
 - b. If the proposer/bidder is in CARD, departments must review all of the proposer's/bidder's CARD records and:
 - i. Determine the proposer's/bidder's total number of active (unresolved) CARD issues. In addition, determine the total number of resolved CARD issues within the last five years. If there are no active issues and less than three resolved issues within the last five years, departments can skip the remaining steps for searching CARD and begin contacting the proposer's/bidder's non-County references (see instructions below).
 - ii. To confirm that any CARD issues are still active, call and/or e-mail the County contact person for any active CARD issues. Since the maximum deduction to the performance history evaluation score is reached when a proposer/bidder has two confirmed active CARD issues, there is no need to confirm the status of additional active CARD issues once two active issues have been confirmed.
2. Contacting non-County references – A proposer/bidder may include a non-County reference in their proposal. Departments must:
 - a. Obtain/complete (via US mail, e-mail, or telephone) a Non-County Services Evaluation Checklist – CARD (see [Exhibit III](#)) for the non-County references to ensure all proposers/bidders are evaluated consistently based on the CARD criteria.

- b. Review all of the responses from the proposer's/bidder's references and ensure that any CARD-related issues are supported with adequate documentation. Determine the proposer's/bidder's total number of active CARD-related issues that are adequately documented and the total number of resolved CARD-related issues within the last five years that are adequately documented.
3. Add the proposer's/bidder's total number of active CARD issues and active CARD-related issues from non-County references. In addition, add the total number of resolved CARD issues within the last five years and resolved CARD-related issues from non-County references within the last five years. If there are no active issues and less than three resolved issues within the last five years, no points are deducted. Otherwise, deduct points from the proposer's/bidder's performance history evaluation score based on one of the following criteria (select the largest deduction possible):
 - a. If there are at least two confirmed active issues, deduct 100% of the total points awarded for the performance history evaluation section.
 - b. If there is one confirmed active issue, deduct 75% of the total points awarded for the performance history evaluation section.
 - c. If all of the issue(s) are resolved, deduct 25% of the total points awarded for the performance history section if the contractor has three or more issues that were resolved within the last five years.

A department must provide justification in their Board letter if the recommended contractor has an active CARD issue.

Note: In the event that a proposer/bidder provides a County reference that placed the proposer/bidder in CARD or a non-County reference that identified CARD-related issues, Departments may not deduct any points in other performance history evaluation components for the issue(s) that resulted in a CARD-related deduction. As a result, departments should require proposers/bidders to provide alternate references and the department should evaluate the proposer/bidder using an alternate reference to prevent the proposer/bidder from losing evaluation points twice for the same issue(s).

Low-Bid Solicitations

For County contract solicitations where contracts are awarded to the lowest responsive and responsible bidder (e.g., low-bid construction contracts), CARD point deductions do not apply since departments do not score a bidder's performance history when reviewing bids. However, departments must take into account any performance issues noted in CARD and consider other pertinent information when determining bidder responsibility. CARD entries on their own may not be sufficient for deeming a bidder non-responsible. Rather, CARD is a resource for alerting departments of poorly performing contractors. Non-responsibility refers to an action taken by the County, which results in a bidder who submitted a bid on a particular contract being prohibited

from being awarded and/or performing work on that contract due to a number of factors, including past performance history and/or other relevant information.

Once the lowest responsive bidder is identified, departments must review CARD for documented instances of poor performance when determining the bidder's responsibility and must also maintain documentation. The following are instructions for completing the CARD review:

1. Search CARD to determine whether a bidder has any entries. If no entries are found, the CARD review is complete. However, departments must consider all relevant information, including those not in CARD, when determining contractor responsibility. If any CARD entries are found, continue to step 2.
2. Review the documentation that the placing department uploaded to support the CARD placement(s). If necessary, contact the placing department to obtain a better understanding of the bidder's past performance issues.
3. Based on the issues identified in CARD, determine whether a finding of non-responsibility is appropriate. Departments must determine whether this information along with any other relevant information will be used in pursuing a finding of non-responsibility.

Construction Solicitations: To ensure a standardized approach when evaluating bidder responsibility for construction solicitations, departments must utilize the Bidder Non-Responsibility Determination for Construction Contracts Checklist (see [Exhibit III](#)) for any CARD entries as a guide to determine whether a non-responsibility finding should be pursued.

4. If a department determines that a non-responsibility finding should be pursued, the department must consult with County Counsel to ensure compliance with the Los Angeles County Code Chapter 2.202, and the [Implementation Procedures for Determinations of Contractor Non-Responsibility and Contractor Debarment](#).

Note: Departments cannot conclude that a bidder is non-responsible solely based on the number of CARD entries. As indicated above, departments must use the CARD information along with any other relevant information regarding contractors, and comply with the applicable procedures to pursue a finding of non-responsibility. In addition, although a finding of non-responsibility prohibits a bidder from being awarded and/or performing work on a particular contract, it does not necessarily indicate that the issues are severe enough to pursue debarment.

If non-County references are used, follow procedure #2 in the Solicitations with Performance History Scoring Component section above on page 22, and procedures #2 through #4 as described above.

D. Impact of Mergers/Acquisitions

Board policy 5.053 provides guidelines for evaluating vendors bidding on County contracts and vendors who are currently under contract with the County that are involved in a merger or acquisition.

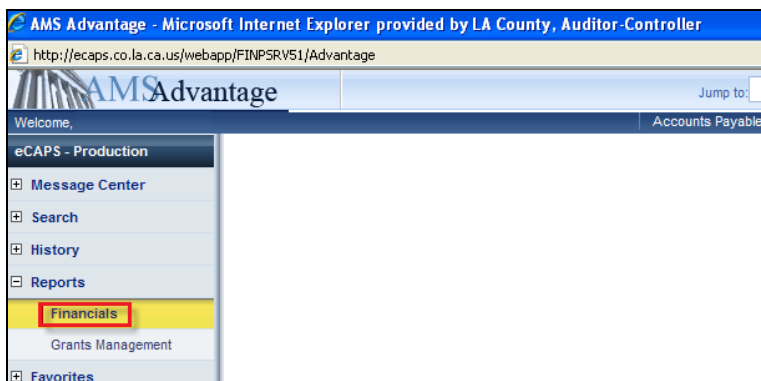
When a vendor discloses a merger/acquisition in their bid during a County contract solicitation, departments must complete a CARD review [see CARD Manual section VI for the CARD review process] during the bid evaluation for both the vendor and the entity that it plans to merge with or be acquired by. During the CARD review, departments must determine the potential point deduction for each entity, and then deduct points from the bid based on the entity with the more significant deduction.

When a department receives a request from a current contractor to assign their contract to a new entity due to a planned merger/acquisition, Board policy 5.053 requires that the department complete a thorough review of the impact of the merger/acquisition. This review should include an investigation into whether either vendor/entity has been placed in CARD. Departments should determine whether to assign the contract to the new entity based on the thorough review required by Board policy, not solely based on a determination that either vendor/entity was placed in CARD.

VIII. ECAPS COGNOS REPORTS

Two scheduled reports are available to departments in eCAPS. The first report named “CARD Contractor List” is a cumulative report of all contractors that have been placed into CARD. The second report named “CARD Contractors with Active Issues” is similar to the first report but only includes contractors that have one or more unresolved issues in CARD. To access the reports:

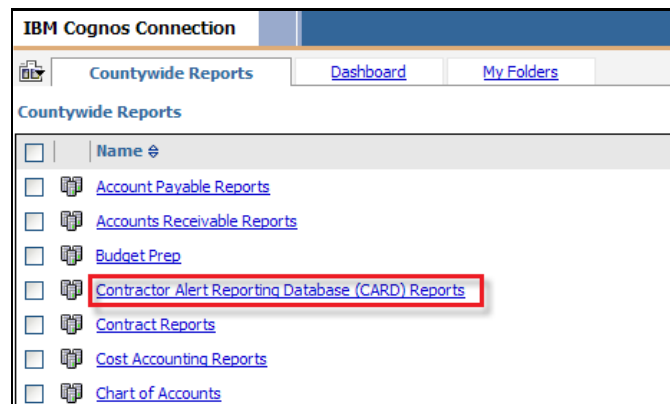
1. Login to eCAPS, expand the “Reports” option, and click “Financials.”



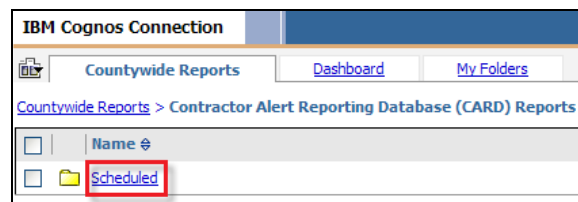
2. If the IBM Cognos front screen opens, click “IBM Cognos content.”



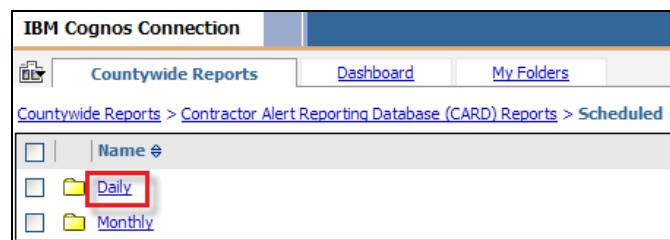
3. Select Countywide Reports and click the link for the CARD reports.



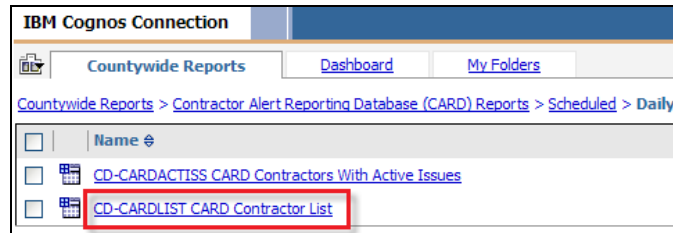
4. Click the “Scheduled” link.



5. Click the “Daily” link (the “Monthly” reports are for archive purposes only).



6. Click the “CARD Contractor List” link for a comprehensive list of every contractor in CARD. If your computer has a pop-up blocker installed, you may need to hold down the “CTRL” button on your keyboard as you click the link and then continue holding it until the report spreadsheet loads.



To only view contractors with active issues in CARD, click the appropriate link during step 6.

CARD PLACEMENT NOTIFICATION LETTER SAMPLE*DEPARTMENT LETTERHEAD*

DATE

TO: *CONTRACTOR*FROM: *DEPARTMENT REPRESENTATIVE*
*DEPARTMENT NAME*SUBJECT: **CONTRACTOR ALERT REPORTING DATABASE PLACEMENT
NOTIFICATION**

This letter serves as notification that unless [*CONTRACTOR*] resolves an outstanding contract issue by [*DATE*], [*CONTRACTOR*] will be placed on the County of Los Angeles' Contractor Alert Reporting Database (CARD). CARD placement is a result of [*CONTRACTOR*] meeting one or more of five CARD criteria. The CARD criteria applicable to [*CONTRACTOR*] is/are checked below:

☐

Contractor owes the County for overpayments and/or questioned costs and has not entered into a repayment agreement or agreed to pay the County back, or has been referred to the Treasurer and Tax Collector for collection.

☐

Contractor has not taken appropriate and timely steps to correct significant documented instances of contract non-compliance in a timely manner. This can also include instances where the contractor corrected their non-compliance but demonstrated a pattern of repeated non-compliance, or corrected their non-compliance but the non-compliance was extraordinarily significant and demonstrated disregard for complying with a material contract requirement.

☐

Contractor and/or principal owners are currently debarred by other governmental entities.

☐

Contractor has experienced financial, administrative, programmatic or legal issues that affect their ability to comply with the County contract requirements.

☐

County has imposed contractual remedies against the contractor for non-compliance with the County contract requirements.

CARD will be used when evaluating the performance history of a contractor participating in a County contract solicitation. Therefore, placement in CARD may negatively affect [*CONTRACTOR*] during future contract solicitations. Our prior efforts and requests for [*CONTRACTOR*] to resolve the issue(s) above have been unsuccessful. To avoid CARD placement, [*CONTRACTOR*] must resolve the above issue(s) by [*DATE*]. If you have any questions, please contact:

NAME(S)
ADDRESS
PHONE
EMAIL

 ADMINISTRATIVE DEPUTY/DESIGNEE SIGNATURE

ANALYST NAME _____
 SOLICITATION # _____

NON-COUNTY SERVICES EVALUATION CHECKLIST – CARD

Firm Name:	
Services Provided:	
Contracting Agency:	
Agency Contact and Title:	Telephone/Email:
Evaluation Period From:	To:

CARD CRITERIA	ACTIVE ISSUE	ISSUE RESOLVED IN THE LAST 5 YEARS
1. The Contractor owes your agency/company for overpayments and/or questioned costs and has not entered into a repayment agreement or agreed to pay you back, or has been referred to collection.	Yes <input type="checkbox"/> No <input type="checkbox"/>	Yes <input type="checkbox"/> N/A <input type="checkbox"/>
2. The contractor has not taken appropriate and timely steps to correct significant documented instances of contract non-compliance. This can also include instances where the contractor corrected their non-compliance but demonstrated a pattern of repeated non-compliance, or corrected their non-compliance but the non-compliance was extraordinarily significant and demonstrated disregard for complying with a material contract requirement.	Yes <input type="checkbox"/> No <input type="checkbox"/>	Yes <input type="checkbox"/> N/A <input type="checkbox"/>
3. The contractor and/or their principal owners are currently debarred by other governmental entities.	Yes <input type="checkbox"/> No <input type="checkbox"/>	Yes <input type="checkbox"/> N/A <input type="checkbox"/>
4. The contractor has experienced financial, administrative, programmatic or legal issues that affect their ability to comply with your contract requirements. Examples of these issues include, but are not limited to, the following: <ul style="list-style-type: none"> • Bankruptcy • Loss of licenses • Failure to pay property or payroll taxes • Financial viability concerns • Lack of qualified staff • Lack of required insurance • Assessment of any fines and/or penalties by public entities 	Yes <input type="checkbox"/> No <input type="checkbox"/>	Yes <input type="checkbox"/> N/A <input type="checkbox"/>
5. Your agency/company has imposed contractual remedies against the contractor for non-compliance with your contract requirements. Examples of these contract remedies include, but are not limited to the following: <ul style="list-style-type: none"> • Termination for default • Assessing liquidated damages • Adjusting the contractor's funding 	Yes <input type="checkbox"/> No <input type="checkbox"/>	Yes <input type="checkbox"/> N/A <input type="checkbox"/>

PLEASE PROVIDE SUPPORTING DOCUMENTATION FOR ANY CRITERIA MARKED "YES"

Bidder Non-Responsibility Determination for Construction Contracts

Bidder Name:	
Solicitation:	
Completed By:	CARD Review Date:
Does the bidder have any CARD entries? If yes, review the information in CARD and complete the checklist below. If no, your CARD review is complete.	
Yes <input type="checkbox"/> No <input type="checkbox"/>	

Non-Responsibility Criteria

The Ordinance provides that the County declare a bidder/proposer to be non-responsible for the purposes of this contract if the County finds, in its discretion, that the bidder/proposer has done any of the following:

1	Violated a term of a contract with the County or a nonprofit corporation created by the County.	
	a. <i>Did the bidder not comply with a material term of a previous County contract, which resulted in significant project delays and/or other damages to the County?</i>	Yes <input type="checkbox"/> No <input type="checkbox"/>
	b. <i>Did the bidder not comply with a material term of a previous County contract, which negatively impacted the public?</i>	Yes <input type="checkbox"/> No <input type="checkbox"/>
	c. <i>Did the bidder not comply with a material term of a previous County contract, which negatively impacted County operations?</i>	Yes <input type="checkbox"/> No <input type="checkbox"/>
	d. <i>Other:</i>	Yes <input type="checkbox"/> No <input type="checkbox"/>
2	Committed an act or omission which negatively reflects on the contractor's quality, fitness or capacity to perform a contract with the County, any other public entity, or a nonprofit corporation created by the County, or engaged in a pattern or practice which negatively reflects on same.	
	a. <i>Has the bidder experienced any financial, administrative, or legal issues that can impact their ability to perform in accordance with the terms of the County contract?</i>	Yes <input type="checkbox"/> No <input type="checkbox"/>
	b. <i>Are there any past performance issues that demonstrate a lack of quality control, which caused significant damage to the County?</i>	Yes <input type="checkbox"/> No <input type="checkbox"/>
	c. <i>Was the bidder negligent with the planning or execution of a previous County contract, which resulted in significant delays to a construction project and/or other damages to the County?</i>	Yes <input type="checkbox"/> No <input type="checkbox"/>
	d. <i>Other:</i>	Yes <input type="checkbox"/> No <input type="checkbox"/>
3	Committed an act or omission which indicates a lack of business integrity or business honesty.	
	a. <i>Has the bidder ever displayed a willful disregard for the safety/well-being of its employees, County staff, or the general public?</i>	Yes <input type="checkbox"/> No <input type="checkbox"/>
	b. <i>Are there any known instances where the bidder received a significant fine/penalty by a public entity (e.g., for failure to pay property or payroll taxes)?</i>	Yes <input type="checkbox"/> No <input type="checkbox"/>
	c. <i>Did the bidder provide inferior materials or workmanship for a past project which impacted the quality of the construction services?</i>	Yes <input type="checkbox"/> No <input type="checkbox"/>
	d. <i>Other:</i>	Yes <input type="checkbox"/> No <input type="checkbox"/>
4	Made or submitted a false claim against the County or any other public entity.	
	a. <i>Has the bidder wrongly requested payment for work not performed?</i>	Yes <input type="checkbox"/> No <input type="checkbox"/>
	b. <i>Are there any documented instances where the bidder requested payment for work or materials that were not approved?</i>	Yes <input type="checkbox"/> No <input type="checkbox"/>
	c. <i>Other:</i>	Yes <input type="checkbox"/> No <input type="checkbox"/>

If yes to any of the above, consult with County Counsel to determine whether a finding of non-responsibility should be pursued. Departments must maintain a copy of this completed form along with any other pertinent information used to determine contractor responsibility.